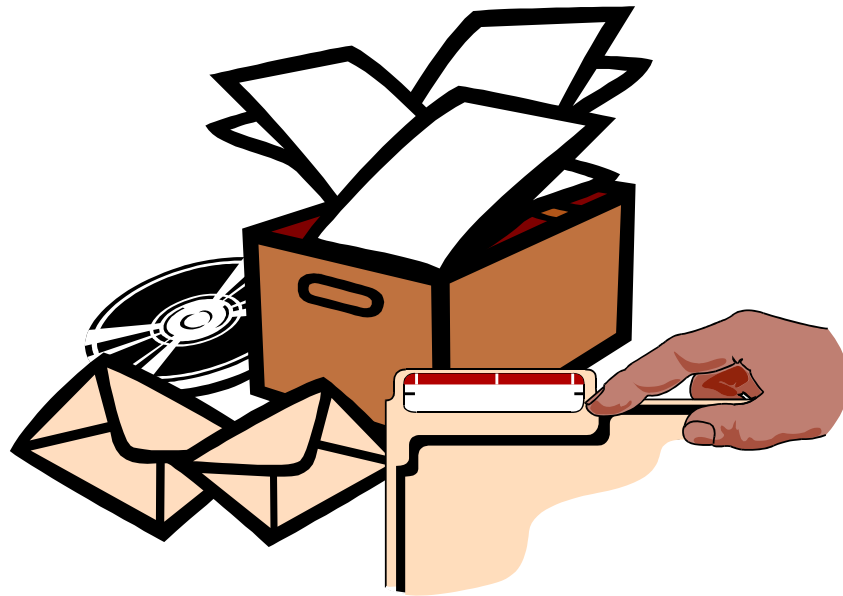


# Records Retention and Disposition for Arizona State Agencies



**Arizona State Library, Archives and Public Records  
Records Management Division  
March 2002**

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## Chapter 1 - The Life-Cycle Of Records

### WHAT ARE RECORDS?

A discussion of records retention should logically begin with determining just what is a record. Definitions may vary depending on the author, context and scope of what is being defined. For the purposes of this discussion, the audience is Arizona State Agencies, and the legal definition, as it appears in the State Library statutes, shall apply.

As defined in the Arizona Revised Statutes (A.R.S. §41-1350) records are: *All books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics . . . made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government, or because the informational and historical value of the data contained therein . . .*

Records as defined above are the property of the State of Arizona. They are in no sense personal property nor are they the property of a specific agency or political subdivision (A.R.S. §41-1347).

It is frequently assumed that records are only paper materials. In the definition above the phrase "regardless of physical form or characteristics" greatly expands on that assumption. Records may include computer based records, still photographs, motion pictures, audio and video recordings, charts, maps, drawings, plans, micrographics and more.

### E-RECORDS

E-records are those that reside in electronic computer systems "regardless of physical form..."<sup>1</sup>. Those records created in an electronic/digital environment are referred to as "born digital" and may well spend their entire life-cycle in this form. E-records are a documentary product of e-government, or digital government.

The Arizona Electronic Transaction Act (A.R.S. §44-7001 et. seq.) authorizes state and local governments to establish electronic/digital systems for conducting their business. It also specifically requires that any records that are a product of these systems be managed pursuant to Arizona's government records statutes.

#### "ALERT" (Arizona 'Electronic Records Taskforce)

ALERT was created by the Arizona State Library, Archives and Public Records as an advisory group meant to ensure that the electronic records

management program established by the agency will address the needs of all affected government entities. The taskforce is composed of representatives from various state and local government agencies. The group welcomes participation and comments from concerned parties. More information may be found at the State Library web site, [www.lib.az.us](http://www.lib.az.us).

### ELECTRONIC RECORDS MANAGEMENT (ERM)

Although this manual does not specifically address the management of electronic records, a separate manual "Managing Arizona Government Electronic Records" is being developed for that purpose. That manual is expected to be ready for publication in the first quarter of 2003.

### THE CONCEPT OF THE RECORD LIFE-CYCLE

A life-cycle is simply the stages through which an organism passes during the course of its lifetime. Pertaining to records, it consists of the various phases a record passes through from the time of its creation or receipt to the time of its final disposition.

As with any inanimate, man-made item, the life-cycle of records is not determined by natural laws, but by the needs of the individuals creating and using records. Figure 1 illustrates the life-cycle of typical paper records.

### RECORDS CREATION

The life-cycle of a record begins when it is created internally or received from an outside source by an agency. A record is created whenever documentary information is placed onto a medium thus making intangible information into tangible records. This action takes place when forms are filled out, correspondence is written, reports are compiled and printed, information is recorded magnetically or electronically, etc.

The medium a record is produced on and the manner of creation does not significantly alter the concept of the life-cycle. All records are created, retained and disposed of on some cyclical basis.

### RECORDS PRESERVATION

By definition, to be a record the documentary information must be preserved. Preserving, in and of itself, does not imply any particular time period. It also does not imply permanence. Preservation simply means retaining the record in some organized fashion so that it may be located when it is needed in the future. For paper records, or for that matter computer-based records, it is the act of filing the record. The record is placed in a file folder and the folders kept in a defined order in order to facilitate location of the record on demand. This paper filing system is emulated by personal computers with

<sup>1</sup> A.R.S. §41-1350

documents being filed in folders and folders organized in a defined order.

## RECORDS RETENTION

Records retention is the time a record is retained prior to final disposition and is usually defined by a records retention and disposition schedule. The schedule is a management tool which essentially defines the life-cycle of the record.

Records retention is the maintenance of documents for further use. Paper records are usually retained in office filing equipment while they are active. When activity; i.e., references to records; drops to a very low level records are no longer active and their disposition may be acted on. Some records may be destroyed as soon as they reach inactive status. Other records reach inactive status, but still must be retained due to other factors. These records may complete their retention in a records center.

Records centers are specifically designed to house inactive records far more economically and efficiently than in an office. Records centers are also more economical than microfilming or scanning for storage of any record with a retention of less than sixty years.

Ultimately, 95% to 97% of all government records are destroyed. Only 3% to 5% of the records have historical value and are preserved for posterity, usually at the State Archives.

## NON-RECORDS

The definition of records encompasses a broad spectrum of recorded information; but not all recorded information is a record. According to Statute (A.R.S. §41- 1350):

*... Library or museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications or documents intended for sale or distribution to interested persons, are not included within the definition of records . . .*

Non-record materials *may* include:

- Reading file copies of correspondence
- Tickler, follow-up, or suspense copies of correspondence
- Identical duplicate copies of all documents maintained in the same file
- Extra copies of printed or processed materials, official copies of which have been retained for record purposes
- Superseded copies of published manuals and directives
- Routing slips
- Transmittal sheets
- Catalogs, trade journals, magazines, etc

- Information copies of correspondence
- Physical exhibits, artifacts, and material objects lacking documentary values

Non-records are usually not to be mixed with records in the same file. Sometimes materials normally considered non-record, such as transmittal or routing slips, acquire record status because they clarify the matter being documented. Such distinctions require care and discretion.

The fact that an item is a copy does not, in itself, give it non-record status. As Figure 2 shows, several copies of a single form may each have record status because each serves a separate program purpose. Multiple copies of a single record, however, generally are not all records. One copy of a document, for example, must be designated as the "official" copy.

When it is difficult to decide whether files are record or non-record materials, the agency should treat them as records. The assistance of the Records Management Division, Arizona State Library, Archives and Public Records is always available to help with this decision.

## BE CAREFUL WITH NON-RECORDS

From the standpoint of both state and Federal court Rules of Evidence, there is little if any difference between records and copies of records. During the discovery process of a civil suit the non-record copies are just as discoverable as the records. Stay on the safe side and treat non-record copies as you would original records, file them carefully, identify them on records retention and disposition schedules and destroy them appropriately.

## FINAL DISPOSITION

Final disposition is the physical destruction or final transfer to archival storage of documents. When the reference activity to records approaches nil they should be disposed of. Only records required to be retained by Statute or Regulation for specific periods of time should be kept beyond their true reference value. Records must never be retained because "someone might need them someday."

Regardless of the medium, records must be disposed of on a scheduled basis. Just because records are on microfilm or magnetic tape is not a reason for longer retention than had they been recorded on paper.

Occasionally, there may be state agency records that relate to a matter which has been transferred to another agency or jurisdiction. It is usually best to transfer these records to the concerned agency or jurisdiction at the time of the transfer of responsibility. A "Single Request" form (Figure 7) may be used to document the transfer.

# The Life-cycle of Records

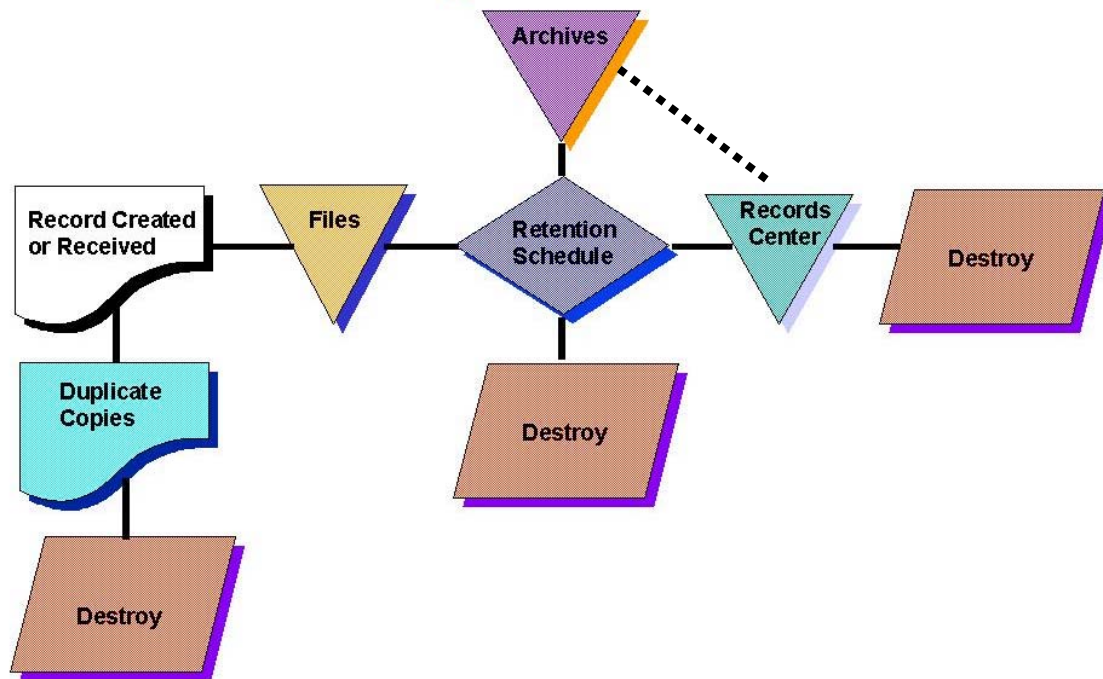


Figure 1

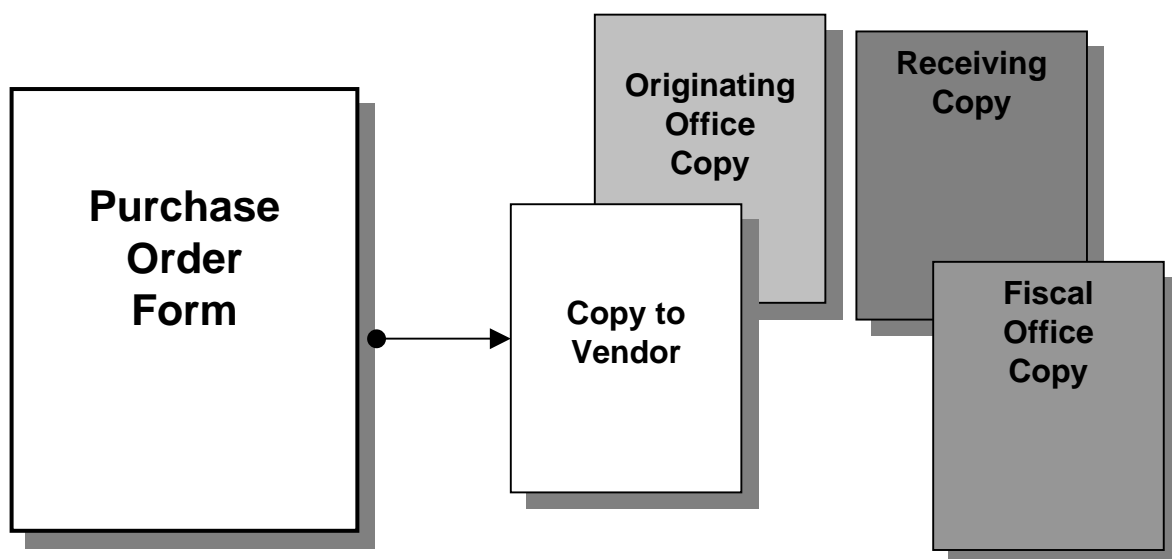


Figure 2

## Chapter 2 - Records Inventory

### RECORD SERIES

A record series is a group of like records that are filed together and treated as a unit for records management purposes. A records series usually consists of many separate files, but it is treated as a single unit for all purposes relating to records retention.

A familiar example is "personnel files" one of which exists for every employee in the organization. Even though there may be hundreds or thousands of these files, they are referred to as a records series – "personnel files" - for records retention purposes

### RECORDS INVENTORY

The first step in developing records retention and disposition schedules is to determine what records exist in an agency. This is ideally accomplished by taking a records inventory. The scope of the records inventory can vary from a single office to an entire agency.

The records inventory identifies and quantifies the records created and received by an agency (or an office.) The inventory is the first step in the development of an agency's (office's) records program and becomes the working document for records retention and disposition schedules, file plans and essential records programs.

Simply defined, the records inventory is a list of each record series, together with an indication of where it is located and other pertinent data.

The inventory is not:

- A document by document listing
- A folder by folder listing

Non-record materials are not required to be included in the inventory. However, since non-records are discoverable and admissible as evidence it is advisable to *include* them in the inventory and describe them thoroughly. If they are duplicates or extra copies, indicate that they are not the record copy and show their use and proposed retention.

The inventory frequently produces some startling results. If an agency or department has not been following a systematic records disposition program the inventory will probably reveal:<sup>2</sup>

- 40% of the total volume will remain in the office.
- 30% of the total volume may be destroyed immediately.
- 30% of the total volume may be boxed and shipped to inactive storage.

### TAKING THE INVENTORY

There are basically two methods of inventorying records: the physical inventory and the survey / questionnaire. In the physical inventory, personnel especially trained by and working for the agency records management unit inventory all records in an agency. They use a carefully designed inventory form which provides for all necessary information. The physical inventory is the most accurate and complete method for determining exactly what records exist in an agency.

In the questionnaire method, a well designed questionnaire(s) is distributed to all unit managers for completion by personnel from each unit. This requires commitment and cooperation from each unit. This method can be efficient and effective providing that the individual units cooperate fully with the records management staff.

Before the inventory begins, agency structure, the levels of authority and program responsibilities need to be understood. They can serve as clues to the existence and location of records within the agency. The following matters should be considered:

- Which are the key line and staff offices?
- What programs does the agency have?
- What units are responsible for developing policies?
- What units are charged with carrying out policies?
- What is the nature of staff support activities?

Equally important is a prior knowledge of the agency or department filing systems. The following questions need to be answered:

- Is there a prescribed agency wide filing system? If so, how widely is it used?
- Is there a prescribed file classification system?
- Is there a central file? Does it operate as planned? At what levels?
- Is there an automated records management system or document management system in use by the agency.
- Where is essential documentation likely to be?

### RECOMMENDED INVENTORY FORMAT

The records inventory worksheet recommended is illustrated in Figure 3. This form is available from the Records Management Division, Arizona State Library, Archives and Public Records. The form can be used for either a physical inventory or as a questionnaire. It should be filled out completely and correctly as it will be the basis for any proposed retention and disposition schedules.

### RECORDS RETENTION CONSULTATION

Although not a true inventory method an effective way to obtain a records retention and disposition

<sup>2</sup>ARMA International, Overview of Records and Information Management, 1985.

schedule for your office is to request a consultation by the Records Management Division of the State Library. A consultation may be requested by phone (602-542-3741) or by e-mail ([rmd@lib.az.us](mailto:rmd@lib.az.us)).

The consultant from the Records Management Division will visit your office, interview staff about the

office records, examine the records and will gather information similar to that obtained during an inventory. The consultant will then evaluate the records using the techniques described in Chapter 3, and draft a Records Retention and Disposition Schedule for agency approval.

RECORDS INVENTORY WORKSHEET	
AGENCY:	DIVISION:
SUB-ORG. UNIT:	CONTACT NAME:
RECORD SERIES NAME:	
<input type="checkbox"/> Official Copy <input type="checkbox"/> Info. Copy	
RECORDS MEDIUM:	
<input type="checkbox"/> Paper <input type="checkbox"/> Microfilm <input type="checkbox"/> Electronic/Computer <input type="checkbox"/> Electronic Image	
DESCRIPTION (IF NAME IS NOT DESCRIPTIVE):	
INCLUSIVE DATES IN FILE:	
From	Through
RECORD(FILE) CUT-OFF:	
<input type="checkbox"/> After Calendar Year <input type="checkbox"/> After Fiscal Year <input type="checkbox"/> After Event (case completion; project completion; etc.)	
VOLUME OF RECORDS (SELECT ONE):	
cubic feet	lineal inches
file drawers	
USE FREQUENCY OF RECORDS:	
current year	ref./month
2 thru 5 years old	ref./month
past year	ref./month
over 5 years old	ref./month
RETENTION:	
Legal Requirement:	years after
Citation	
Office Recommendation	years after
Current retention from approved schedule	years after
ELECTRONIC/COMPUTER MEDIA ONLY:	
Operating system:	
Application program:	
Data format:	
COMMENTS:	

RMC-9 R3/98

Figure 3

## Chapter 3 – Records Evaluation / Appraisal

### EVALUATION / APPRAISAL

Evaluation is a term used by records managers to determine the retention value of various record series. The information gathered in the records inventory is used to evaluate the records for determining retention periods. Evaluation for retention periods is based on:

- Statutory or regulatory requirements
- Audit requirements
- Practical need or value

*Statutory or regulatory requirements* for specific records retention periods are infrequent. Statutes and regulations are sometimes geared toward actions rather than records. Records retention may be inferred, however, by the need to provide evidence of a particular action. When a statute or regulation is being cited as the basis for a retention period, the specific statute or regulation must be indicated on the records inventory and on the subsequent retention schedule.

*Audit requirements* usually apply only to financial or fiscal records. These requirements are most often limited to retention for three to five years. Federal requirements are almost always listed in the Code of Federal Regulations (CFR) and are therefore also regulatory requirements. Do not assume retention periods based on what an individual auditor wants. This determination should be made only by the auditing authority.

*Practical need* is determined by specific values:

- **Administrative value.** Records which help or document administrative activities have administrative value. Retention can vary greatly on these records depending on just what the records document. Many documents at operational levels are actually non-records by definition because they are duplicates of record copies and/or they are working papers which are summarized into higher level records.
- **Evidential value** refers to records which provide evidence of an agency's organizational structure and functions. They include policies, directives, board minutes, organizational documents, etc. Most of these records have long term or archival value. Fortunately, these are a very small percentage of an agency's records.
- **Informational value** is based on the information contained in the records. Informational value usually decreases with time. Informational value can most often be determined by studying the use of the record series over a period of time.

### APPRAISAL OF PERMANENT / ARCHIVAL RECORDS

The Arizona History and Archives Division identifies, collects, preserves and provides access to state and local government records of Arizona, for the purposes of retaining evidence about public policies and programs, providing protection or verification of individual's rights, and maintaining information about noteworthy people, issues, places and events that make up the story of Arizona's history.

Appraisal is a term used by archivists meaning the assessment of the records for historical value. The appraisal criteria used by archivists include:

- Who created the record.
- How the records were used.
- What information is contained in the record.
- Who might use the records in the future.

These records are usually considered for "permanent" retention at the State Archives.

"Permanent", as used by records managers and archivists, literally means forever, and records with this value are relatively rare. Records archival value usually comprise three to five percent of the total of all government records. Frequently original copies of evidential records are of archival value. These include:

1. Board Minutes of boards, commissions and committees established by statute, resolution, proclamation or ordinance
2. Original or "official" copies of formal policy directives
3. One copy of the agency annual reports
4. Original copy of organizational documentation including charts
5. Records documenting a historic or "landmark" event

The archivists at the History and Archives Division welcome the opportunity to appraise agency records. Please call 602-542-4159 to arrange for a professional appraisal.

Arizona law A.R.S. §39-101 prescribes the materials and storage conditions required for permanent public records and prescribes the penalty for non-compliance.

### DETERMINING RECORDS RETENTION

The evaluation/appraisal process is used to determine the retention period best suited to a record series. No record should be destroyed while it still has significant value. On the other hand, no record should be retained after its value has been exhausted.

Records should *never* be retained only because "someone might need them someday" or "just in case." Maintaining records uses valuable resources and is costly — only records of value should be maintained.

Most records are kept for informational value. Usually, informational value decreases as time passes. A



"typical" record will have most of its informational value immediately after its receipt or creation. This value then drops off or decreases over a period of time.

Ultimately, the determination of government records retention periods is the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §§41-1347 and 41-1351).

## Chapter 4 - Records Retention and Disposition Schedules

### SCHEDULING RECORDS

The primary objective of the records inventory and records evaluation is to provide the data necessary to produce records retention and disposition schedules. These schedules are simply timetables that identify the length of time records must be kept in active and inactive status prior to final disposition.

A records retention and disposition schedule describes the life-cycle of specific record series. It is a reference and a management tool to be used to prescribe the time to retire records to inactive status and eventually the time to destroy or otherwise dispose of the records. A.R.S. §41-1346 requires that each state and local agency submit proposed retention and disposition schedules to the Arizona State Library, Archives and Public Records.

Records Retention and Disposition Schedules are best developed along organizational lines, with schedules written for specific organizational units. Organizationally-based schedules facilitate both transfer of inactive records to a records center and final destruction of old records.

Retention schedules must be reviewed on a regular basis and revised as needed. The Records Management Division recommends reviewing schedules every two to three years. Since public laws, services and office operations are constantly revised, improvements in equipment and work methods become necessary. The information resources of public agencies must adapt to respond to these changes. Revisions to retention schedules should be initiated by either agency management or the Arizona State Library, Archives and Public Records whenever office efficiency will improve or greater economy will result.

### DRAFTING SCHEDULES

Agencies and offices may draft their own records retention and disposition schedules if they desire. Blank schedule forms (Figure 4) are available in paper form from the Records Management Division and in PDF format at the State Library web site, [www.lib.az.us](http://www.lib.az.us). Submitted schedules usually require clarification and revision prior to being submitted for approval. Usually final schedules are prepared by a records management analyst at the Records Management Division.

The upper part of the form contains identifying information for the office submitting the schedule. Please leave the spaces for "Agcy Code" and "Div. Code" blank. If necessary, these will be completed by a RMD analyst.

List each record series on the schedule in serial (1, 2, 3, 4, 5) order. DO NOT fill in the "series code", as this will also be assigned at the Records Management Division, if appropriate. Indicate the recommended retention period broken down by number of years in the office, number of years in the State Records Management Center and the total retention. The total retention will

always be the sum of the "Office" and "R.C." columns. In the "Remarks" column indicate when the retention period begins; e.g., after end of calendar year or after file is closed. If there is a legal requirement for retaining the records, cite the code or statute in this column. Draft schedules may be forwarded to the Records Management Division where they will be reviewed and final retention schedules drafted.

### RECORDS RETENTION CONSULTING

The Records Management Division offers free records management consulting to Arizona state agencies as well as to local and district governments. Most often the purpose of the consulting is to develop records retention and disposition schedules.

An experienced records management analyst will come to your office, survey your records and prepare to draft schedules. The analyst will check for relevant laws and regulations as well as question the office staff about the use and activity of each records series. The analyst will also check the proposed retention periods against retention periods for similar records already approved for other agencies. Based on all this information the analyst will draft a schedule with recommended retention periods.

### CONCURRENCE BY AGENCY MANAGEMENT

Prior to submission to the Director, Arizona State Library, Archives and Public Records for final approval, the retention schedules will be returned to the submitting office for concurrence by office or agency management. There is a place for a submitting signature in the upper right part of the retention schedule. After signing the schedule, return it to the Records Management for final approval.

When the signed submitted schedule is received by the records Management Division it will be placed in process for final approval by the State Library Director. This process, which includes review by a records management analyst, is performed as quickly as possible. Following Arizona State Library, Archives and Public Records final approval, it is advisable to incorporate the retention schedule into the agency directives or policies.

### AUTHORIZATION TO DESTROY RECORDS

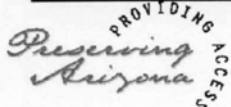
After approval by the Director, Arizona State Library, Archives and Public Records, the retention and disposition schedules become the authorization to destroy records or transfer records to the State Archives at a designated point in time. This is the only authority an Arizona State of local government agency needs to proceed with destruction of records.

Destruction of records must be reported to Arizona State Library, Archives and Public Records pursuant to A.R.S. §41-1351. See Chapter 6 of this manual for further instructions.

### CAVEAT (WARNING)

*Records retention and disposition schedules  
DO NOT preempt good judgement. Records required*

*for legal discovery or ongoing audit purposes beyond the prescribed retention must be maintained until cleared by the appropriate authority before destruction. Contact the Records Management Division whenever records are required because of a law suit, special or ongoing audit or criminal investigation.*

RECORDS RETENTION AND DISPOSITION SCHEDULE						
<div style="display: flex; justify-content: space-between;"> <div style="text-align: center;">  <p>Arizona State Library, Archives and Public Records RECORDS MANAGEMENT DIVISION 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us</p> </div> <div style="text-align: right;"> <b>PAGE 1 of</b> </div> </div>						
State Agency Password		Political Subdivision		Agency Name		
Org. Unit/Division			Office		Phone	
Address			City		AZ Zip	
Submitted By (Name)		Title		Signature <b>X</b>		
<small>Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.</small>						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
						Supersedes Schedule Dated:
Approved by: <b>X</b> Director, Arizona State Library, Archives and Public Records <small>RMC-2 R9/01</small>						Approval Date:

**Figure 4**

## Chapter 5 - General Schedules

### AUTHORIZED DISPOSITION

General Records retention and disposition schedules are those that deal with staff-type functions (i.e., Administration, Management, Finance, and Personnel) within an organization. They are records which are common to most agencies and are not by their nature directly related to the fulfillment of the objectives of a specific agency.

The *general* schedules in this chapter list many record series and provide retention and disposition requirements for these records. The *general* schedules have all the necessary authorization and represent the legal, practical and economical life cycles for these records.

*No* further authorization is required to destroy these records after the total retention period is over. However, ***destruction of these records must be reported to Arizona State Library, Archives and Public Records.*** See Chapter 6, Records Destruction.

If an agency has a sufficient volume of these records to justify storage at the State Records Management Center, the records must be listed on an agency retention and disposition schedule. Call the State Records Management Center at 602-542-3741 for more information.

***Records retention and disposition schedules DO NOT preempt good judgement. Records required for legal discovery or ongoing audit purposes beyond the prescribed retention must be maintained until cleared by the appropriate authority before destruction. Contact the Records Management Division whenever records are required because of a law suit, special or ongoing audit or criminal investigation.***

### GENERAL SCHEDULES

The general schedules in this chapter are functional in nature with the following functions covered:

- Agency Management
- Office Administration
- Agency Financial
- Agency Personnel

**AGENCY MANAGEMENT** concerns the actual management of a complete agency. The records included in this schedule are common to virtually all agencies and are of a general nature. Specific records produced in the management of the agency which directly concern the objective or mission of the agency must be listed on a separate retention and disposition schedule and submitted to Arizona State Library, Archives and Public Records.

**OFFICE ADMINISTRATION** records are common to all office or unit locations within any agency.

The record series covered in this schedule are broad and general by nature, and may include many specific types of documentation and information.

**AGENCY FINANCIAL** records may be the official record copies with supporting documentation or they may be duplicate copies of records held by the State Treasurer or Department of Administration, Finance Division. For simplification either type of record shall be treated the same for retention and disposition purposes. Other financial records unique to the financial needs of a particular agency must be covered in separate agency retention and disposition schedules.

**AGENCY PERSONNEL** records of all agencies under the State Personnel System should be kept in accordance with current Personnel Rules. This schedule may be used both by agencies covered by the State Personnel System and by uncovered agencies. The personnel records listed on the schedule encompass most records related to personnel including training and safety. Uncovered agencies may have a scope of personnel records which goes beyond these schedules. These agencies should consult with the Records Management Division to include all records on retention and disposition schedules

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 1 of 2**

ALL STATE AGENCIES		Function: <b>All – Agency Management</b>				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	Minutes: a. Governing boards/commissions b. Other decision making committees, boards or commissions c. Advisory committees, boards, commissions or task forces; ad hoc committees; etc. d. Audio or video recordings of meetings		Perm Perm 3 3mo	- - - -	Perm Perm 3 3mo	Microfilm for preservation and security* Microfilm for preservation and security* After fiscal year created After date of meeting (Recycle recording medium when appropriate.)
2	Committee, board, commission or task force records: a. agendas, notes, correspondence, etc. b. Reports/studies resulting in no action c. Reports/studies resulting in a project or program  <b>NOTE: Some of these reports may involve high profile or otherwise noteworthy projects that may have long term or historical value. Contact History and Archives Division if you wish a professional archival appraisal of any of these files.</b>		3 5 -	- - -	3 5 -	After fiscal year created or received After fiscal year submitted File with project or program records
3	Agency policies, directives, general orders, administrative orders, etc. (original/official copy)		Perm	-	Perm	
4	Agency annual report required pursuant to statute or administrative rule		10	-	10	After year reported (Permanent copy required at ASLAPR, Research Div.)
5	Legislation files including case files for proposed legislation and files tracking legislation		1	-	1	After passed into law or defeated and abandoned
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> Director, Arizona State Library, Archives and Public Records						<b>Approval Date:</b>  March 19, 2002

**March 2002**

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 2 of 2**

ALL STATE AGENCIES		Function: <b>All – Agency Management</b>				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
6	Records retention and disposition schedules		1	-	1	After revised (Original/official copy at ASLAPR)
7	Certificates/reports of records destruction		2	-	2	After fiscal year records destroyed (Original/official copy at ASLAPR)
8	Approved requests for imaging / microform utilization		1	-	1	After renewed or application terminated
9	Intergovernmental Agreements		3	-	3	After canceled, suspended or expired
10	Performance audit reports (agency copy)		10	-	10	After audit completed
						<b>* Call ASLAPR Preservation Imaging at 602-542-3741</b>
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> Director, Arizona State Library, Archives and Public Records						<b>Approval Date:</b>  March 19, 2002

**March 2002**

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 1 of 3**

<b>ALL STATE AGENCIES</b>				Function: <b>All – Office Administration</b>		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	General correspondence including letters, memos, etc. not related to a specific project or case (paper and/or electronic) a. Official copy (signed original or copy of signed original) b. Final draft c. Earlier drafts <b>NOTE: General correspondence covers a very wide variety of subjects from a wide variety of authors. Some of these materials may have long term or historical value. Contact History and Archives Division if you wish a professional archival appraisal of any of these documents.</b>		2	-	2	After created or received
			3mo	-	3mo	After official copy created
			-	-	-	After superseded
2	E-mail <b>Note: E-mail is not a true record series. Record series is actually determined by the content of the e-mail document. E-mail records must include sender and receiver identification, time and date sent and received, and the complete message.</b> a. Records (per A.R.S. §41-1350) including sender and receiver identification, time and date sent and received and the complete message maintained on a PC or server in a document or records management system. b. Records (per A.R.S. §41-1350) as in a. above that are printed to paper and preserved and retained in that form.		-	-	-	Retain for the same period as required for other forms of the identified record series
			-	-	-	Retain for the same period as required for other forms of the identified record series.
						<b>Supersedes Schedule Dated: March 11, 1999</b>
Approved by: <b>X Gladys Ann Wells</b> Director, Arizona State Library, Archives and Public Records						Approval Date:  March 19, 2002

**March 2002**

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 2 of 3**
**ALL STATE AGENCIES**

Function:

**All - Office Administration**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	c. Records (per A.R.S. §41-1350) sent as attachments to e-mail		-	-	-	Retain for the same period as required for other forms of the identified record series.
	d. Routine non-record communication		-	-	3mo	Or after informational value is served, whichever is sooner
	e. E-mail server backups		1mo	-	1mo	After date backup was run
3	Transitory materials including correspondence of limited reference value, letters of transmittal and informational bulletins (Paper and/or electronic)		3mo	-	3mo	After created or received
4	Appointment calendars		1	-	1	After calendar year created
5	Reference materials including duplicate files or documents, periodicals, catalogs, published reports, etc. (non-records)		-	-	-	After informational value has been served or a maximum of 3 years
6	Working documents including notes, drafts, feeder reports, etc. used in the development of final or summary records (paper and/or electronic)		-	-	-	After completion of the final record.
7	Progress/activity reports (except official agency annual report) including weekly or monthly reports to supervisors and managers (paper and/or electronic)		1	-	1	After fiscal year created or compiled
8	Office internal administrative records including non-policy work procedures, office assignments, work schedules, etc. (paper and/or electronic)		3	-	3	After revised or discontinued
9	Logs including telephone message logs, sign-in sheets etc. (paper and/or electronic)		1	-	1	After last entry date
<b>Supersedes Schedule Dated: March 11, 1999</b>						

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

March 19, 2002

**March 2002**



**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 3 of 3**

<b>ALL STATE AGENCIES</b>				Function: <b>All – Office Administration</b>		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
10	Employee time and leave records (unit of assignment copy only) including leave requests and		1	-	1	After calendar or fiscal year created
11	Financial records (office copies only) including order requisitions, purchase orders, travel claims, invoices, cash receipts, petty cash, etc. (paper and/or electronic		3	-	3	After fiscal year created or received.
12	Voice mail		-	-	-	Erase or otherwise destroy messages following taking required action
13	Voice mail backup (if this exists)		1mo	-	1mo	After date backup is run
14	Employee personnel files (supervisors copy)		6mo	-	6mo	After termination or transfer
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> Director, Arizona State Library, Archives and Public Records						<b>Approval Date:</b>  March 19, 2002

**March 2002**

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 1 of 2**

ALL STATE AGENCIES		Function: <b>All – Agency Financial</b>				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	Agency budget request including work papers, spread sheets, calculations, etc. (paper and/or electronic)		3	-	3	After fiscal year submitted
2	Subordinate organization unit budget requests and work papers (paper and/or electronic)		3	-	3	After fiscal year submitted
3	Budget approved and appropriated (agency copy)		3	-	3	After fiscal year covered
4	Expense accounting records including agency copies of all claims, warrant registers, purchase orders, receiving documents, invoices, etc. (paper and/or electronic)					
	a. State funded programs		5	-	5	After fiscal year created or received
	b. Federally funded projects and non-renewable grants		5*	-	5*	After fiscal year of final voucher payment
	c. Federally funded continuing programs and renewable grants		5*	-	5*	After fiscal year created
						<i>* Retention period must meet or exceed the requirements of the federal funding agency per USC, CFR or contract.</i>
5	Employee time and leave records (official agency copy)		3	-	3	After fiscal year created (29CFR516.2)
6	HRMS40 employee notice personnel/payroll data add – change-delete		3	-	3	After fiscal year created (29CFR516.2)
7	Payroll records including all remuneration made to employees and all Social Security contributions and adjustments		4	-	4	After fiscal year contributions were due or paid (20CFR404.1225)
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> Director, Arizona State Library, Archives and Public Records						<b>Approval Date:</b>  March 19, 2002

**March 2002**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 2 of 2****ALL STATE AGENCIES**

Function:

**All – Agency Financial**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
8	Payroll deduction records		2	-	2	After fiscal year created (29CFR516.2)
9	Deposits with Treasurer (paper and/or electronic)		3	-	3	After fiscal year created
10	Contracts (official agency copy)		6	-	6	After fiscal year fulfilled, cancelled or voided
11	Capital equipment inventory (paper and/or electronic)		3	-	3	After fiscal year created
12	Financial audit reports (agency copy)		3	-	3	After fiscal year of audit completed
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> <b>Director, Arizona State Library, Archives and Public Records</b>						<b>Approval Date:</b>  March 19, 2002

**March 2002**

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 1 of 2**

ALL STATE AGENCIES		Function: <b>Agency Personnel / Human Resources</b>				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
1	Employee personnel file: a. Official agency file*  b. Supervisor's work file  <i>* The content of this file is determined by Personnel Rule R2-5-105. Non-Merit System (uncovered) agencies determine content by agency policy.</i>		5  6mo	-  -	5  6mo	After calendar year of termination of state service After termination or transfer
2	Statistical listings or employees		-	-	-	After superseded
3	Position descriptions (PDQs)		3	-	3	After superseded or position abolished
4	Requests for classification of new positions or reclassification of existing positions		1	-	1	After request is acted on
5	Grievance Files (confidential)		3	-	3	After action taken or grievance resolved
6	Hiring records including lists, applications, selection, test scores, interview records, etc.		2	-	2	After calendar year received or prepared (29CFR1602.31)
7	Records created or maintained in order to complete EEO-2 or similar reports		1	-	1	After calendar year of report
8	EEO-4 including supporting information		3	-	3	After submitted (29CFR1602.30)
9	Form I-9 (Proof of legal residency in USA)		1	-	1	After employee terminates, but not less than 3 years after date of hire (8CFR27a.2)
10	Agency employee training files including attendance lists class outlines, etc.		3	-	3	After calendar year training is given
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> Director, Arizona State Library, Archives and Public Records						<b>Approval Date:</b>  March 19, 2002

**March 2002**

# RECORDS RETENTION AND DISPOSITION SCHEDULE

**PAGE 2 of 2**

ALL STATE AGENCIES		Function: <b>Agency Personnel / Human Resources</b>				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
11	Employee tuition refund program records		3	-	3	After fiscal year refund is issued
12	Occupational safety and health records including accident reports; annual summaries		5	-	5	After calendar year reported (29CFR1952.4)
13	Employee medical and exposure records * including lists of hazardous materials exposed to; pre-employment physicals; results of exams; medical opinions; diagnoses; employee medical complaints; etc.  <b>*These records must be filed separately from the employee personnel file.</b>		30	-	30	After calendar year of termination of state service (29CFR1910.20)
14	Accident prevention programs including lists of first aid trained personnel		1	-	1	After superseded
15	Group insurance records (agency copy)		1	-	1	After superseded
16	Reduction in force (RIF) records including computation documents and recap summaries		5	-	5	After RIF completed
17	Investigations of personnel matters that may result in discipline; or civil or criminal action		5	-	5	After resolution or closure of investigation
						<b>Supersedes Schedule Dated: March 11, 1999</b>
<b>Approved by:</b> <b>X</b> <i>Gladys Ann Wells</i> Director, Arizona State Library, Archives and Public Records						<b>Approval Date:</b>  March 19, 2002

**March 2002**

## Chapter 6- Destruction of Records

### LEGALITY OF DESTRUCTION

Destroying public records *without lawful authority* is a class 4 felony (A.R.S. §38-421). The Arizona State Library, Archives and Public Records is charged by law (A.R.S. §41-1347), with the responsibility of authorizing the destruction of qualified public records.

As stated earlier in this manual, no record should be destroyed while it still has significant value . . . but no record should be maintained after its potential use does not justify cost of continued retention. The determination of value is ultimately the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §41-1347) and the Department encourages the lawful and timely destruction of eligible records. There are two methods for obtaining authorization for destruction of records:

- For records on approved retention and disposition schedules
- For records not on schedules

### RECORDS ON APPROVED SCHEDULES

A retention and disposition schedule approved by the Arizona State Library, Archives and Public Records (including the general and model schedules) is a continuing authority to destroy the listed records at the end of their scheduled retention period. With an approved schedule, an agency may destroy listed records without further approval.

***These schedules DO NOT pre-empt good judgment. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction.***

Destruction must be reported to the Arizona State Library, Archives and Public Records after it has taken place (A.R.S. §41-1351). To simplify and standardize the reporting of records destruction, the "Report of Records Destruction/ Certificate of Destruction" must be used. Figure 5 illustrates a properly "Report of Records Destruction/ Certificate of Destruction." The "Report of Records Destruction/ Certificate of Destruction" is available on request, in paper and PDF formats, from the Records Management Division. (In 2002 this form will be available in screen fillable PDF format at the agency website, [www.lib.az.us](http://www.lib.az.us).)

Please print clearly or use a typewriter for the paper form. Complete the form as follows:

1. In the upper right corner "Authority" enter the approval date of the agency retention schedule; if a support or model schedule is used enter the date it was approved and give the name of the function.

2. Complete the "FROM" section with the county name, official agency name, office name, address and zip code.
3. List the "Record Series" destroyed using the **exact** record series name(s) found on the approved schedule.
4. Enter the earliest date under "From" and the latest date under "Thru".
5. For paper estimate the volume, in cubic feet, of records destroyed. For computer records ignore the volume destroyed.  
***One letter size file drawer = 1.5 cu. ft.***  
***One legal size file drawer = 2.0 cu. ft.***
6. At the bottom of the certificate enter the date on which the records were destroyed, the method of destruction and the signature of the individual performing or witnessing the destruction.

### RECORDS NOT ON APPROVED SCHEDULES

Records not on approved schedules may be destroyed only with explicit approval from the Director of the Arizona State Library, Archives and Public Records. To request approval to destroy records a "Single Request" (Figure 6) must be used.

The "Single Request" is available in paper form, upon request, from the Records Management Division, and is available in PDF format at the division website. For paper forms, please print clearly or use a typewriter to complete the form.

1. ***DO NOT MAKE ANY ENTRIES IN THE SHADED AREAS.***
2. Complete the identification section with the date, county name, official agency name, office name, address, phone and zip.
3. The individual assigned with the duty of custodian for the records listed must sign the request. The name of that individual must be typed in the "Submitted by" area.
4. List the RECORD SERIES to be destroyed using the name of the series and a brief description if necessary.
5. Enter the earliest date of the records (FROM) and the date of the latest records (THRU).
6. Estimate the volume of paper records in cubic feet.  
***One letter size file drawer = 1.5 cu. ft.***  
***One legal size file drawer = 2.0 cu. ft.***
7. ***STOP.*** Remove the goldenrod copy and retain it in suspense. Send the balance of the form intact to the Records Management Division. The Director of the Arizona State Library, Archives and Public Records will provide authorization using a code placed in the "Code" column beside each record series listed. Following approval by the Director, Arizona State Library, Archives and Public Records, the Records

Management Division will return the white and yellow copies to the requester for certification of destruction.

8. Destruction shall take place within 60 days of the approval date. Following destruction of the records, complete the bottom of the form with the name of the person actually destroying or supervising the destruction of the records and the date the records were actually destroyed.
9. Send the white (top) copy of the completed form to the Records Management Division. Retain the yellow copy in your office for two years.

### METHODS OF DESTRUCTION

The great majority of records produced by state agencies are accessible to the general public pursuant to A.R.S. §39- 121. Records are not restricted or confidential unless specifically identified as such by statute. There is, therefore, no reason to destroy most public records with the exactness required for the destruction of confidential or restricted records.

The most desirable method of destruction for non-confidential public records is recycling. Recycling is simply the sale of the old records to a commercial firm which will eventually reprocess the old paper into new. Microfilm records can also be recycled by silver recyclers. Recycling is a source of revenue and ensures the total destruction of the records.

Shredding, pulping, mastication and disintegration are all thorough destruction methods. These methods typically require expensive specialized equipment and are labor intensive. Although thorough, they are generally incomplete methods as their end products must still be disposed of. These destruction methods should only be used for confidential or restricted records because of the relatively high cost incurred.

Burning is an inexpensive and effective method of very thorough records destruction. However, incinerators and open fires are against the law in most areas. Burning should only be used where it is legal and when it can be safely monitored and contained. Burning, when executed properly, is an extremely effective method

ideal for destruction of confidential or restricted records. It is time consuming and requires constant monitoring, making it too labor intensive for most public records destruction.

Landfill is *not* particularly recommended as a destruction method for confidential government records. Burying records in a landfill may make the records unusable for most practical purposes, but it is not effective in truly destroying the records. Records buried in a landfill in desert areas, such as most of Arizona, may actually be preserved by the act of burying them in a dry, relatively sterile and ultra-violet free environment. Although an inexpensive option burying in a landfill can not guaranty the destruction of the records.

### TRANSFER OF RECORDS

Occasionally, there may be a need to transfer records from from a political sub-division to a state agency, from a county to a municipal government, from a state agency to a political sub-division or from a state or county agency to the State Archives. This may come about because of a change in jurisdiction over some project or function or because the State Archives desires the records for their historical value.

The "Single Request" described above has also been designed to serve this purpose. Follow all of the directions above indicating that a transfer is being recommended. The Director, Arizona State Library, Archives and Public Records will review the single request and will most likely approve the transfer between any two public bodies. Transfers of public records to private individuals, private organizations or corporations will normally not be approved.

In some cases, the State Archives may request the transfer of records when an agency wishes to dispose of them. In these cases, the Director will usually approve the transfer.

The bottom of the "Single Request" has been designed so as to also document the transfer of records. As with destruction the white (top) copy is sent to the Records Management Division and the yellow copy is kept in the transferring agency's files for two years.

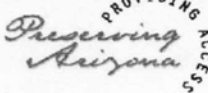
REPORT/CERTIFICATE OF RECORDS DESTRUCTION				
		Arizona State Library, Archives and Public Records <b>RECORDS MANAGEMENT DIVISION</b> 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us		<b>AUTHORITY</b> Date of approved schedule or manual
<input type="checkbox"/> <b>STATE AGENCY</b>		<input type="checkbox"/> <b>POLITICAL SUBDIVISION</b>		DATE
AGENCY NAME		ORGANIZATIONAL UNIT		PHONE
ADDRESS		CITY	<b>AZ</b>	ZIP
LIST RECORDS DESTROYED				
RECORD SERIES	DATES COVERED		ESTIMATED VOLUME *	
	FROM	THRU		
CERTIFICATE				
The above records have been destroyed so as to render them totally useless.				
DESTROYED BY (NAME)		TITLE		
SIGNATURE <b>X</b>			DATE	
* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumed.				

Figure 5



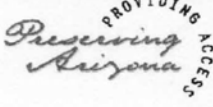
SINGLE REQUEST FOR RECORDS DESTRUCTION OR TRANSFER				
		Arizona State Library, Archives and Public Records <b>RECORDS MANAGEMENT DIVISION</b> 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us		<b>CONTROL NO.</b> For RMD use only.
		<input type="checkbox"/> <b>STATE AGENCY</b> <input type="checkbox"/> <b>POLITICAL SUBDIVISION</b>		<b>DATE</b>
<b>AGENCY NAME</b>		<b>ORGANIZATIONAL UNIT</b>		<b>PHONE</b>
<b>ADDRESS</b>		<b>CITY</b>	<b>AZ</b>	<b>ZIP</b>
LIST RECORDS TO BE DESTROYED OR TRANSFERRED				
CODE Provided by ASLAPR	RECORD SERIES	DATES COVERED		ESTIMATED VOLUME *
		FROM	THRU	
<b>HISTORY &amp; ARCHIVES COMMENTS</b>		<b>RECORDS MANAGEMENT COMMENTS</b>		
AUTHORIZATION				
<b>CODE</b>	A – Transfer to Arizona State Library, Archives and public Records.			
	B – Continue to hold until _____.			
	C – Transfer to _____.			
	D – Destroy so as to render unusable.			
<b>AUTHORIZED/APPROVED BY</b> <b>X</b> Director, Arizona State Library, Archives and Public Records		<b>DATE</b>		
CERTIFICATE				
<input type="checkbox"/> The above records have been <b>DESTROYED</b> so as to render them totally useless.				
<input type="checkbox"/> The above records were <b>TRANSFERRED</b> per direction.				
<b>BY (NAME)</b>		<b>TITLE</b>		
<b>SIGNATURE</b> <b>X</b>		<b>DATE</b>		
* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumes.				

Figure 6

## Chapter 7 - Using the State Records Management Center

### BACKGROUND

The State Records Management Center is located just west of the capital mall at 1919 West Jefferson in Phoenix. It was designed and constructed specifically for the storage of state agency inactive records. The original construction was completed in 1981 with two modular additions completed in 1991. Total capacity is currently 190,000 cubic feet of inactive records.

Security was one of the primary design concerns. The building is constructed of concrete block with steel beams and trusses. An absolute minimum of combustible materials was used in the construction, and the storage areas are able to withstand three hours of fire before penetration. There is no external entry to the records storage areas, no windows and no skylights. In addition the entire building has a full intrusion and fire alarm system monitored by Capitol Police. Fire extinguishing sprinklers are used throughout the record storage areas and the offices. The vault contains a Halon 1301 fire suppression system.

With its convenient location, the Records Management Center provides storage, retrieval and refile services for designated records of any state agency. In 1999 the legislature established the Records Services Fund (A.R.S. 41-1345) and mandated that ASLAPR charge customer agencies for records services.

The State Records Management Center is authorized pursuant to A.R.S. 41-1345.01. It is the only state records facility established pursuant to statute. Other agencies may operate their own facility only with approval of the Director, Dept. of Library, Archives and Public Records.

### AUTOMATED RECORDS INVENTORY

The Records Management Center (RMC) has had an automated inventory and activity system since 1989. This system was in need of updating to current technology standards.

In 2001 the RMC purchased new software for management, control and billing purposes. The new Windows NT® based software completely replaces the old automated system and is designed to provide more accurate service to RMC customers.

The new system is the records storage module of *aRdocs* a complete records management software package produced by Resomax. The system runs on a Compaq server and networked client PCs.

To assist RMC in providing excellent customer service three of the PCs are hand held devices incorporating laser barcode scanners and networked to the server via a wireless (RF) connection.

### RECORDS ELIGIBLE FOR TRANSFER

Basically, any records of a state agency may be transferred to the State Records Management Center. However, RMC prefers that the following criteria are met:

- The records be included on *approved* records retention and disposition schedules with an assigned retention in the Records Management Center (R.C.) column.
- The records are *inactive*.
- There is an assigned destruction or transfer date for the records.
- A standard records storage box (12 in. x 15 in. x 10 in.) is preferred. Other sizes may be used but storage charges are based on the volume of the box, so larger boxes cost more to store at RMC. (*Special boxes may be used for oversized or odd sized records with prior approval from RMC. Storage charges will be established based on the size and convenience of the box.*)
- Transmittal documentation is completed properly.

### PREPARING RECORDS FOR TRANSFER

***The Records Management Division regularly offers FREE training sessions covering the procedures for storing records at the Records Management Center (RMC). It is strongly recommended that all customer agency staff, responsible for sending records to and requesting records from RMC, attend one of these short classes.***

1. Offices should determine which records are eligible for transfer to the Records Management Center by a periodic (every 6 to 12 months) review of their retention schedules. Eligible records have a retention period entered in the column "RC".
2. Offices must call the Records Management Center (602-542-3741) to order an appropriate number of "Transfer Labels". (See Figure 7.) The cost of the "Transfer Labels" is included with the data entry fee. They are pre-printed with a bar code designating the agency code, office code and box identification/container number.
3. It is most economical to use standard records storage containers procured solely for records storage. The container holds approximately one cubic foot of records and measures 12 in. wide X 15 in. long X 10 in. high. (See Figure II-10.) Ideal boxes are constructed of 200 pound corrugated paper with double walls on the 12 in. dimension. They may be made of either white or brown material. **To facilitate retrievals and final disposition only one record series may be packed into any one box.**

4. Standard letter size records are packed on the 12 in. dimension; "legal" size records are packed on the 15 in. dimension. *Between 2 and 4 inches of space must be left in each box to accommodate handling of the records. (If interfiling of additional records into a box is anticipated, more space must be provided in each box.) To facilitate finding and retrieving the records, they must be packed in the same file order as they are maintained in the office. Top tab folders must be packed tab up.*
5. Computer printed reports measuring 15 in. wide are to be packed on the 15 in. dimension in a "sagging" manner; or laid flat in the box. **Boxes must not be overloaded and should weigh no more than 35 lb.**
6. Records which, because of their size, will not fit properly in the standard container will be handled on an individual basis. Offices faced with this situation should contact the Records Management Center (602-542-3741) for special instructions and storage pricing.

### TRANSFER LABELS

Figure 7 illustrates the "Transfer Labels" and Figure 8 the "Boxed Records Data Sheet". **It is imperative that these labels be used and the Boxed Records Data Sheet be completed properly to ensure accurate data entry into the automated system.**

The Records Management Center will *custom print* pairs of bar coded "Transfer Labels" containing the agency code, the office code and the box identification number. One label must be placed **directly** on one of the 12 in. sides of the records box. The other label is to be placed on a Boxed Records Data Sheet.

***Never borrow labels from another office, even if it is in the same agency. Each office has a unique code printed on their labels. Use of another office's labels will virtually guaranty your not being able to retrieve your records.***

*Complete the Boxed Records Data Sheet carefully:*

1. Enter the 6 digit *records series code* from the approved retention and disposition schedule.
2. Enter the inclusive or cut-off (e.g. fiscal year end) dates of the records. For case files or project files enter the close date only.
3. Enter the alpha or numeric range of records in the box (i.e. the first record and the last record).
4. *Do not exceed 50 characters in the description area.*
5. Make and file a copy of the Boxed Records Data Sheet(s) to be used as a reference for retrieval of records.
5. Place the Boxed Records Data Sheet(s) for this shipment in *one* of the boxes along with the *Transfer Manifest* and mark the lid of that box with a large "X". This will enable Records

Management Center staff to easily identify the location of the transfer documents for data input.

**DETAILED BOX CONTENTS.** If it is **necessary** to itemize the box contents beyond the alpha or numeric file range allowed for on the Boxed Records Data Sheet, contact the Records Management Center. There will be an extra charge (based on the number of characters) for data entering this detailed inventory of each box

### REQUESTING TRANSFER

Following proper boxing of the records, and preparation of the Boxed Records Data Sheet(s) the records are ready to be picked up by the Records Management Center. The customer office must call the Records Management Center (602-542-3741) in advance to arrange for the pick-up.

### TRANSFER WORK ORDER

A *Transfer Work Order* (Figure 9) will be prepared for each *shipment* of records to the Records Management Center. The driver will bring the work order with him, make any necessary corrections and will request the person shipping the records to sign or initial it.

### RECORDS MANAGEMENT CENTER IN-PROCESSING

Use care when preparing records for storage. The driver for the Records Management Center will check the boxes to ensure that they are not over-packed, that they adhere to approved retention schedules and for proper placement and use of the label. The driver will also spot check the Boxed Records Data Sheets and the Transfer Manifest.

Records which are **incorrectly** boxed, labeled or documented will be accepted by the driver, but additional charges will be levied for necessary corrections. **If everything is properly completed**, the driver will transport the records to the Records Management Center.

Records center technicians will receive the boxed records at the Records Management Center:

1. Using handheld computers they will put the boxes in assigned spaces, scanning the box numbers and the shelf location numbers, thereby assigning a location to each box.
2. Records Management Center staff will then enter the data from the Boxed Records Data Sheet into the aRdocs system.
3. A *Container Information Report* of the boxed records will be sent to the client office by the Records Management Center. **The client is responsible for checking over this report and notifying the Records Management Center of any errors or omissions immediately.**

## REQUESTING RECORDS FROM THE RECORDS MANAGEMENT CENTER

Records stored at the Records Management Center may be requested for reference or use at any time during normal business hours ( Mon. thru Fri., 8:00 AM thru 5:00 PM). They may be requested in person, by phone, by FAX or by mail. A single phone call is limited to three retrieval requests. Mail and FAX requests must be on a "Retrieval Request". (See Figure 10.) These forms are available from the Records Management Center. In the near future it will also be possible for customers to request retrievals directly through the internet.

Records Management Center staff will retrieve the record(s) and enter the retrieval into the aRdocs system. Retrievals are normally sent out daily using the inter-agency mail system. Retrievals needed immediately and having 15 or fewer pages will be faxed to the client agency if so requested.

**PASSWORD.** Each customer office will be assigned a unique password. For security and control purposes it is **required** that the individual requesting a record(s) from the Records Management Center know the appropriate password. For security reasons the aRdocs system will not permit a retrieval without the correct password.

Other information necessary for requesting a retrieval includes:

- The record series
- The box/container number
- The specific record(s) being requested
- Verification of delivery location
- Method of delivery if other than inter-agency mail.
- Whether an original record or a copy is requested

If a retrieved record is *confidential* and requires special handling, this must be so stated at the time the retrieval request is made. Normal handling of files is to use inter-office envelopes for inter-office mailings, and to hand files "un-packaged" to all agency couriers.

Normally, *regular* requests received at the Records Management Center by 5:00 p.m will be retrieved and placed into interagency mail the following day.

**Emergency** requests are those *needed immediately* by a customer agency. There is an extra charge for these retrievals. All *emergency* requests will be retrieved immediately and placed at the front desk for *client pickup/will call*. **The Records Management Center will make emergency deliveries only when this service has been prearranged with a customer at the time of retention schedule development.** Emergency retrieval requests made outside of normal business hours must be made through Capitol Police who will attempt to contact Records Management Division staff.

The Records Management Center will fax a copy of an emergency request to a client providing that the

request is for no more than 15 pages. Following faxing, the original record(s) may be sent to a client by interagency mail *if so requested*.

Once a record has been retrieved aRdocs keeps track of who retrieved it and when. Any subsequent attempts to retrieve a record already retrieved will generate a message indicating when and where that record was sent.

## REFILES

**It is imperative that the *retrieval label*, attached when the record was retrieved, remain on any retrieved record that will be returned to the Records Management Center for refiling.** The bar-coded label will be used by the Records Management Center to scan the refile back into the Inactive Records system. No other documentation or bar coding is required for a refile.

When the record is refilled both the pick label on the record and the pick label on the out guide are scanned and the refilled record is automatically logged back into the system. After being logged back in, it is again available for retrieval.

## INTERFILES

Interfiles are individual records which are sent to the Records Management Center for placement in a box already in storage. Unlike refiles, interfiles were never before filed at the Records Management Center.

All interfiles must be marked "Interfile - Password - Box Number." *The box into which the interfile is to be placed should be noted.* The Records Management Center will file the interfile away in its appropriate location. Interfiles are very time and labor consuming and are subject to an appropriate fee.

## RECORDS DESTRUCTION

aRdocs will calculate the destruction date for each box of records in the Records Management Center. The destruction date is calculated using the retention period in the retention schedule and the "thru" date of the records in the box. **It is imperative to enter the correct "thru" date on the transfer document.**

At least once annually, all RMC customers will receive a computer generated report listing all boxed records stored at RMC, and the corresponding scheduled destruction date. It is the responsibility of the customer agency to review this information for accuracy and advise RMC of any required corrections. No notice of pending destruction will be sent out by the Records Management Center. **It is the responsibility of each office to notify the Records Management Center of any changes in law, ongoing litigation, court order or ongoing audits which increase retention requirements.** Should any box of records need to be retained beyond the established retention period, for any *legitimate* reason (e.g. law or

regulatory change, ongoing litigation, court order; ongoing audit; ), a client agency must notify the Records Management Center **before** the stated destruction date.

If no extension of retention is requested, it will be assumed that the records may be destroyed on their scheduled destruction date. Records Management Center staff will normally destroy the records by recycling.

The Records Management Center does not shred or otherwise physically destroy records itself, but will arrange for this type of destruction and charge an appropriate fee. A customer agency may arrange for the destruction of any records requiring physical destruction

because of statutory confidentiality. The Records Management Center staff will cooperate by helping to coordinate the physical destruction of the records.

Following destruction and removal from the inactive records system, a "Certificate of Destruction" will be completed and signed by Records Management Center Staff. One copy of this certificate will be forwarded to the client office. The original signed certificate will be maintained permanently on microfilm by the Records Management Division. The Records Management Center will provide, upon request only, a listing of specific boxes destroyed.



Figure 7

# BOXED RECORDS DATA

DATA ENTRY

ATTACH BARCODE LABEL

HERE

IN NUMERICAL SEQUENCE

1

DATA ENTRY

ATTACH BARCODE LABEL

HERE

IN NUMERICAL SEQUENCE

2

DATA ENTRY

ATTACH BARCODE LABEL

HERE

IN NUMERICAL SEQUENCE

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DESCRIBE BOX CONTENTS

### Figure 8

## Figure 9

## FIGURE 10